



AUG 16 2004

Sheet 1 of 1

Substitute Form PTO-1 (Modified)	 U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. <b>17075-021001 / 0125</b>	Application No. <b>10/723,273</b>
<b>List of Patents and Publications for Applicant's Information Disclosure Statement</b>		Applicant <b>Barrett, et. al</b>	
		Filing Date <b>November 25, 2003</b>	Group Art Unit <b>3738</b>
(37 CFR §1.98(b))			

## **U.S. Patent Documents**

## **Foreign Patent Documents or Published Foreign Patent Applications**

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Design ID	Document

Examiner Signature /Nihir Patel/ Date Considered 10/25/2007  
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## **Foreign Patent Documents or Published Foreign Patent Applications**

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document

Examiner Signature <i>/Nihir Patel/</i>	Date Considered 10/25/2007
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT		APPLICATION SERIAL NO.: 10/723,273	ATTY DKT NO.: 38349-0125	CONFIRM NO.: 8613
UNDER 37 CFR § 1.56, § 1.97, and § 1.98  O I P E J C I S P M A R 1 6 2004 P A T E N T & T R A D E M A R K O F F I C E FORM PTO-1449		APPLICANTS: Barrett et al.	CUSTOMER NO.: 24961	
Sheet 1 of 11		FILING DATE: November 25, 2003	GROUP ART UNIT: 3738	

### U.S. PATENT DOCUMENTS

† EX'R INITIAL	REF. #	PATENT NUMBER	DATE	NAME	U.S. CLASS/ SUBCLASS	FILING DATE (If appropriate)
/NP/	*A	2003/0018327 (A1)	01/23/03	Truckal et al.	606/32	07/18/02
	*B	2003/0018344 (A1)	01/23/03	Kaji et al.	606/130	07/19/02
	*C	2003/0050648 (A1)	03/13/03	Alferness et al.	606/108	09/11/01
	*D	2003/0083671(A1)	05/01/03	Rimbaugh et al.	606/108	10/25/01
	*E	2003/0181922 (A1)	09/25/03	Alferness	606/108	03/20/02
	*F	2003/0183235 (A1)	10/02/03	Rimbaugh et al.	128/207.15	04/17/03
	*G	2002/0138135 (A1)	09/26/02	Duerig et al.	623/1.24	03/21/01
	*H	2002/0112729 (A1)	08/22/02	DeVore et al.	128/207.15	02/21/01
	*I	2002/0111620 (A1)	08/15/02	Cooper et al.	606/41	09/04/01
	*J	2002/0111619 (A1)	08/14/02	Keast et al.	606/41	09/04/01
	*K	2002/0095209 (A1)	07/18/02	Zadno-Azizi et al.	623/1.24	02/08/02
	*L	2002/0087153 (A1)	07/04/02	Roschak et al.	606/27	09/04/01
	*M	2002/0077696 A1	06/20/02	Zadno-Azizi et al.	623/1.24	02/21/02
	*N	2002/0077593 (A1)	06/20/02	Perkins et al.	604/96.01	02/11/02
	*O	2002/0062120 (A1)	05/23/02	Perkins et al.	604/516	12/13/01
	*P	2002/0026233(A1)	02/28/02	Shaknovich	623/1.24	03/20/01
	*Q	2002/0007831(A1)	1/24/02	Davenport et al.	128/200.24	07/18/01
	*R	2001/0056274 (A1)	12/27/01	Perkins et al.	604/516	07/02/01
	*S	2001/0052344 (A1)	12/20/01	Doshi	128/207	06/14/01
	*T	2001/0051799 (A1)	12/13/01	Ingenito	604/516	04/20/01
↓	*U	2001/0041906 (A1)	11/15/01	Gonzalez	606/191	07/24/01
	*V	2001/0037808 A1	11/08/01	Deem et al.	128/200.24	03/02/01
/NP/	*W	2001/0025132 (A1)	09/27/01	Alferness et al.	600/37	02/09/01

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FORM PTO-1449		APPLICANTS: Barrett <i>et al.</i>	CUSTOMER NO.: 24961	
Sheet 2 of 11		FILING DATE: November 25, 2003	GROUP ART UNIT: 3738	

U.S. PATENT DOCUMENTS						
/NP/	*X	2,981,254	04/25/61	Vanderbilt	128/350	11/12/57
	*Y	3,657,744	04/25/72	Ersek	128/334	05/08/70
	*Z	3,788,327	01/29/74	Donowitz <i>et al.</i>	128/350	03/30/71
	*AA	3,874,388	04/01/75	King <i>et al.</i>	128/334	02/12/73
	*AB	4,014,318	03/29/77	Dockum <i>et al.</i>	128/1	05/22/75
	*AC	4,086,665	05/02/78	Poirier	623/1	12/16/76
	*B	4,212,463	07/15/80	Repinski <i>et al.</i>	273/418	02/17/78
	*AD	4,250,873	02/17/81	Bonnet	600/104	04/17/78
	*AE	4,302,854	12/01/81	Runge	3/1.7	06/04/80
	*AF	4,477,930	10/23/84	Totten <i>et al.</i>	3/1.5	09/28/82
	*AG	4,710,192	12/01/87	Liotta <i>et al.</i>	623/1	10/17/86
	*AH	4,732,152	03/22/88	Wallsten <i>et al.</i>	128/343	12/5/85
	*AI	4,759,758	07/26/88	Gabbay	623/2	12/07/84
	*AJ	4,795,449	01/03/89	Schnelder <i>et al.</i>	604/329	08/04/86
	*AK	4,808,183	02/28/89	Panje	623/9	06/03/80
	*AL	4,819,664	04/11/89	Nazari	128/207.15	02/17/88
	*AM	4,830,003	05/16/89	Wolff <i>et al.</i>	128/343	06/17/88
	*AN	4,832,680	05/23/89	Haber <i>et al.</i>	600/31	07/03/86
	*AO	4,846,836	07/11/89	Reich	623/11	10/03/88
	*AP	4,850,999	07/25/89	Planck	623/1	05/26/81
	*AQ	4,852,568	08/01/89	Kensey	128/325	12/28/87
↓	*AR	4,877,025	10/31/89	Hanson	128/107.16	10/06/88
/NP/	*AS	4,934,999	06/19/90	Bader	600/29	07/28/88

EXAMINER'S SIGNATURE <i>/Nihir Patel/</i>	DATE CONSIDERED 10/25/2007
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3/11/04 11:27 AM (38349.0125)

<b>IN THE UNITED STATES PATENT AND TRADEMARK OFFICE</b> <b>INFORMATION DISCLOSURE STATEMENT</b> <b>UNDER 37 CFR § 1.56, § 1.97, and § 1.98</b> <b>FORM PTO-1449</b>  Sheet 3 of 11		APPLICATION SERIAL NO.: 10/723,273	ATTY DKT NO.: 38349-0125	CONFIRM NO.: 8613
		APPLICANTS: Barrett et al.	CUSTOMER NO.: 24961	
		FILING DATE: November 25, 2003	GROUP ART UNIT: 3738	

U.S. PATENT DOCUMENTS						
/NP/	*AT	4,968,294	11/06/90	Salama	600/30	02/09/89
	*AU	5,061,274	10/29/91	Kensey	606/213	12/04/89
	*AV	5,116,360	05/26/92	Pinchuk et al.	623/1	12/27/90
	*AW	5,116,564	05/26/92	Jansen et al.	264/255	10/10/89
	*AX	5,123,919	06/23/92	Sauter et al.	623/2	06/23/92
	*AY	5,151,105	09/29/92	Kwan-Gett	623/1	10/07/91
	*AZ	5,161,524	11-92	Evans	128/203.15	
	*BA	5,306,234	04/26/94	Johnson	604/49	03/23/93
	*BB	5,352,240	10/04/94	Ross	623/2	05/31/89
	*BC	5,358,518	10/25/94	Camilli	623/2	01/25/93
	*BD	5,366,478	11/22/94	Brinkerhoff et al.	660/213	07/27/93
	*BE	5,382,261	01/17/95	Palmaz	606/158	09/01/92
	*BF	5,392,775	02/28/95	Adkins et al.	128/207.16	03/22/94
	*BG	5,409,019	04/25/95	Wilk	128/898	11/03/93
	*BH	5,411,507	05/02/95	Heckete	606/108	01/05/94
	*BI	5,411,552	05/02/95	Andersen et al.	623/2	06/14/94
	*BJ	5,413,599	05/09/95	Imachi et al.	623/2	12/13/93
	*BK	5,417,226	05/23/95	Juma	128/885	06/09/94
	*BL	5,445,626	08/29/95	Gigante	604/349	06/03/94
	*BM	5,486,154	01/23/96	Kelleher	600/104	06/08/93
	*BN	5,499,995	03/19/96	Teirstein	606/192	05/25/94
↓	*BO	5,500,014	03/19/96	Quijano et al.	623/2	05/09/96
/NP/	*BP	5,562,608	10/08/96	Sekins et al.	604/20	04/13/95

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<b>IN THE UNITED STATES PATENT AND TRADEMARK OFFICE</b> <b>INFORMATION DISCLOSURE STATEMENT</b> UNDER 37 CFR § 1.56, § 1.97, and § 1.98 <b>FORM PTO-1449</b>		APPLICATION SERIAL NO.: 10/723,273	ATTY DKT NO.: 38349-0125	CONFIRM NO.: 8613
		APPLICANTS: <i>Barrett et al.</i>	CUSTOMER NO.: 24961	
Sheet 4 of 11		FILING DATE: November 25, 2003	GROUP ART UNIT: 3738	

U.S. PATENT DOCUMENTS						
/NP/	*BQ	5,645,565	07/08/97	Rudd <i>et al.</i>	606/213	06/13/93
	*BR	5,660,175	08/26/97	Dayal	128/207.15	08/21/95
	*BS	5,662,713	09/02/97	Andersen <i>et al.</i>	623/12	09/14/95
	*BT	5,683,451	11/04/97	Lenker <i>et al.</i>	623/1	06/07/95
	*BU	5,697,968	12/16/97	Rogers <i>et al.</i>	623/1	08/10/95
	*BV	5,755,770	5/26/98	Ravenscroft	623/1	01/31/95
	*BW	5,800,339	09/01/98	Salama	600/29	05/02/97
	*BX	5,840,081	11/24/98	Andersen <i>et al.</i>	623/2	02/19/97
	*BY	5,851,232	12/22/98	Lois	623/1	3/13/97
	*BZ	5,855,587	01/05/99	Hyon <i>et al.</i>	606/188	08/22/96
	*CA	5,855,597	01/5/99	Jayaraman	623/1	05/07/97
	*CB	5,855,601	01/05/99	Bessler <i>et al.</i>	623/2	06/21/96
	*CC	5,944,738	08/31/99	Amplatz <i>et al.</i>	606/213	02/06/98
	*CD	5,947,997	09/07/99	Pavcnik <i>et al.</i>	606/213	06/30/97
	*CE	5,954,766	09/21/99	Zadno-Azizi <i>et al.</i>	623/2	09/16/97
	*CF	5,957,949	09/28/99	Leonhardt <i>et al.</i>	606/194	05/01/97
	*CG	5,976,174	11/02/99	Ruiz	606/213	12/15/97
	*CH	5,984,965	11/16/99	Knapp <i>et al.</i>	623/12	08/28/97
	*CI	6,007,575	12/28/99	Samuels	623/1	06/06/97
	*CJ	6,009,614	01/04/00	Morales	29/516	04/21/98
	*CK	6,020,380	02/01/00	Killian	514/570	11/25/98
✓	*CL	6,022,312	02/08/00	Chaussy <i>et al.</i>	600/29	02/20/98
	*CM	6,027,525	02/22/00	Suh <i>et al.</i>	623/1	05/23/97
/NP/	*CN	6,051,022	04/18/00	Cai <i>et al.</i>	623/2	12/30/98
EXAMINER'S SIGNATURE <i>/Nihir Patel/</i>						DATE CONSIDERED 10/25/2007
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		APPLICANTS: Barrett et al.	CUSTOMER NO.: 24961	
Sheet 5 of 11		FILING DATE: November 25, 2003	GROUP ART UNIT: 3738	

<b>U.S. PATENT DOCUMENTS</b>						
/NP/	*CO	6,068,635	05/30/00	Gianotti	606/108	06/04/98
	*CP	6,068,638	05/30/00	Makower	606/159	10/27/98
	*CQ	6,077,291	06/20/00	Das	606/213	11/26/96
	*CR	6,083,255	07/04/00	Laufer et al.	607/96	12/19/97
	*CS	6,123,663	09/26/00	Rebuffat	A61F2/00	12/23/98
	*CT	6,135,729	10/24/00	Aber	417,420	07/09/99
	*CU	6,135,991	10/24/00	Muni et al.	604/509	03/27/98
	*CV	6,141,855	11/07/00	Morales	29/516	04/28/98
	*CW	6,162,245	12/19/00	Jayaraman	623/1.15	01/05/99
	*CX	6,168,614 (B1)	01/02/01	Andersen et al.	623/1	02/20/98
	*CY	6,174,323 (B1)	01/16/01	Biggs et al.	606/232	06/05/98
	*CZ	6,183,520 (B1)	02/06/01	Pintauro et al.	623/23.64	11/10/98
	*DA	6,200,333 (B1)	03/13/01	Laufer	607/96	12/31/98
	*DB	6,206,918 (B1)	03/27/01	Campbell et al.	623/2.32	05/12/99
	*DC	6,234,996 (B1)	05/22/01	Bagaoisan et al.	604/97.01	06/23/99
	*DD	6,240,615 (B1)	06/05/01	Kimes et al.	29/516	09/30/99
	*DE	6,245,102 (B1)	06/12/01	Jayaraman	623/1.15	07/21/99
	*DF	6,258,100	07/11/01	Alferness et al.	606/108	10/10/00
	*DG	6,270,527 (B1)	08/07/01	Campbell et al.	623/2.18	10/16/98
	*DH	6,287,290 (B1)	09/11/01	Perkins et al.	604/516	07/02/99
	*DI	6,293,951 (B1)	09/25/01	Alferness et al.	606/108	08/24/99
	*DJ	6,302,893 (B1)	10/16/01	Limon et al.	606/108	06/19/00
	*DK	6,312,407 (B1)	11/06/01	Zadno-Azizi et al.	604/103.03	02/19/98
	*DL	6,325,777 (B1)	12/04/01	Zadno-Azizi et al.	604/97.01	10/01/99
/NP/	*DM	6,325,778 (B1)	12/04/01	Zadno-Azizi et al.	604/99.02	01/01/99

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
**INFORMATION DISCLOSURE STATEMENT**

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

**FORM PTO-1449**

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APPLICATION SERIAL NO.:	ATTY DKT NO.:	CONFIRM NO.:
10/723,273	38349-0125	****
APPLICANTS: Barrett et al.	CUSTOMER NO.: 24961	
FILING DATE: November 25, 2003	GROUP ART UNIT: ****	

**FOREIGN PATENT DOCUMENTS**

† EX'R INITIAL	REF. #	Patent Number	Date	Country	TRANSLATION (YES/NO)
/NP/	DZ	00/15149	03/23/00	PCT	
	EA	00/42950	07/27/00	PCT	
	EB	00/51510	09/08/00	PCT	
	EC	00/62699	10/26/00	PCT	
	ED	00/78386 (A1)	12/28/00	PCT	
	EE	00/78407 (A1)	12/28/00	PCT	
	EF	01/02042 (A1)	01/11/01	PCT	
	EG	01/03642 (A1)	01/18/01	PCT	
	EH	01/05334 (A1)	01/25/01	PCT	
	EI	01/10313 (A1)	02/15/01	PCT	
	EJ	01/10314 (A2)	02/15/01	PCT	
	EK	01/12104 (A1)	02/22/01	PCT	
	EL	01/13839 (A1)	03/01/01	PCT	
	EM	01/13908 (A2)	03/01/01	PCT	
	EN	01/28433 (A1)	04/26/01	EP	
	EO	01/45590 (A2)	06/28/01	PCT	
▼	EP	01/49213 (A2)	07/12/01	PCT	
/NP/	EQ	01/54585 (A1)	08/02/01	PCT	

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/Nihir Patel/

DATE  
CONSIDERED  
10/25/2007

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3/10/04 4:19 PM (38349.0125G)

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FORM PTO-1449		APPLICANTS: Barrett et al.	CUSTOMER NO.: 24961	
Sheet 8 of 11		FILING DATE: November 25, 2003	GROUP ART UNIT: ****	

FOREIGN PATENT DOCUMENTS				
/NP/	ER	01/54625 (A1)	08/02/01	PCT
	ES	01/54685 (A1)	08/02/01	PCT
	ET	01/66190 (A2)	09/13/01	PCT
	EU	01/74271 (A1)	10/11/01	PCT
	EV	01/87170 (A1)	11/22/01	PCT
	EW	01/89366 (A2)	11/29/01	PCT
	EX	01/95786 (A2)	12/20/01	PCT
	EY	02/05884 (A2)	1/24/02	PCT
	EZ	02/22072 (A2)	03/21/02	PCT
	FA	02/32333 (A1)	04/25/02	PCT
	FB	02/34322 (A2)	05/02/02	PCT
	FC	02/38038 (A2)	05/16/02	PCT
	FD	02/47575 (A2)	06/20/02	PCT
	FE	02/056794 (A2)	07/25/02	PCT
	FF	02/064045 (A1)	08/22/02	PCT
	FG	02/064190 (A2, A3)	08/22/02	PCT
	FH	02/069823 (A2, A3)	09/12/02	PCT
V	FI	02/094087 (A1)	11/28/02	PCT
/NP/	FJ	03/022124 (A2)	03/20/03	PCT

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		APPLICANTS: Barrett et al.	CUSTOMER NO.: 24961	
Sheet 8 of 11		FILING DATE: November 25, 2003	GROUP ART UNIT: ****	

FOREIGN PATENT DOCUMENTS				
/NP/	ER	01/54625 (A1)	08/02/01	PCT
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	EV	01/87170 (A1)	11/22/01	PCT
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	FG	02/064190 (A2, A3)	08/22/02	PCT
	FH	02/069823 (A2, A3)	09/12/02	PCT
V	FI	02/094087 (A1)	11/28/02	PCT
/NP/	FJ	03/022124 (A2)	03/20/03	PCT

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**INFORMATION DISCLOSURE STATEMENT**  
 UNDER 37 CFR § 1.56, § 1.97, and § 1.98  
**FORM PTO-1449**

Sheet 9 of 11

APPLICATION SERIAL NO.:	ATTY DKT NO.:	CONFIRM NO.:
10/723,273	38349-0125	****
APPLICANTS: Barrett et al.	CUSTOMER NO.: 24961	
FILING DATE: November 25, 2003	GROUP ART UNIT: ****	

**FOREIGN PATENT DOCUMENTS**

/NP/	FK	03/079944 (A1)	10/02/03	PCT	
	FL	03/088912 (A2)	10/30/03	PCT	
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/Nihir Patel/

DATE  
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\* Did not receive

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**FORM PTO-1449**  
 Sheet 7 of 11

APPLICATION SERIAL NO.: 10/723,273	ATTY/DKT NO.: 38349-0125	CONFIRM NO.: ****
APPLICANTS: Barrett et al.	CUSTOMER NO.: 24961	
FILING DATE: November 25, 2003	GROUP ART UNIT: ****	

**FOREIGN PATENT DOCUMENTS**

† EX'R INITIAL	REF. #	Patent Number	Date	Country	TRANSLATION (YES/NO)
/NP/	DZ	00/15149	03/23/00	PCT	
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	EH	01/05334 (A1)	01/25/01	PCT	
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	EK	01/12104 (A1)	02/22/01	PCT	
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APPLICATION SERIAL NO.:	ATTY DKT NO.:	CONFIRM NO.:
10/723,273	38349-0125	****
APPLICANTS: Barrett et al.	CUSTOMER NO.: 24961	
FILING DATE: November 25, 2003	GROUP ART UNIT:	****

FOREIGN PATENT DOCUMENTS

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	FR	1 151 729 (A1)	11/07/01	EP	
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	FZ	98/00040	01/08/98	PCT	
	GA	98/19633	05/14/98	PCT	
Do have this	GB	98/39047	09/11/98	PCT	
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		10/723,273	38349-0125	****
		APPLICANTS: Barrett et al.	CUSTOMER NO.: 24961	
Sheet 10 of 11		FILING DATE: November 25, 2003	GROUP ART UNIT: ****	

FOREIGN PATENT DOCUMENTS					
/NP/	GD	98/48706	11/5/98	PCT	
/	GE	99/01076	01/14/99	PCT	
	GF	99/13801	03/25/99	PCT	
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	GH	99/32040	07/01/99	PCT	
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/NP/	GK	99/64109 (A1)	12/16/99	PCT	

x English Language Derwent is enclosed.

x+ English Language Equivalent is enclosed.

OTHER DOCUMENTS		
† EX'R INITIAL	REF. #	CITATION (Author, Article Title, Journal/Book Title, Date, Pertinent Pages, etc.)
/NP/	GL	Al Jishi et al., "Selective Bronchial Occlusion for Treatment of Bullous Interstitial Emphysema and Bronchopleural Fistula." <i>J. of Pediatric Surgery</i> , 29:1545-1547, 1994
/NP/	GM	Article: "Autocath® 100 – Nonsurgical, Intraurethral Bladder Control Device for Incontinent and Retentive Women – Dr. Kulisz's Development"
/NP/	GN	Derwent citing Russian Patent No. RU 2140211, published 10/27/99, for: "Method of surgical treatment of patients with pathology of respiratory organs complicated with pulmonary hemorrhages"
/NP/	GO	Derwent citing Soviet Union Patent No. SU 852-321, published 07/08/81, for: "Treatment for acute pulmonary and pleural disease in children - by pneumo-abcessotomy simultaneous with occlusion of affected lung part"
/NP/	GP	Derwent# 007607249 WPI Acc. No: 1988-241181/198834 (citing Russian Application No. SU4026409, published February 21 1986) Russian Patent No. SU 1371700
EXAMINER'S SIGNATURE		DATE CONSIDERED 10/25/2007
<i>/Nahir Patel/</i>		

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		APPLICANTS: Barrett et al.	CUSTOMER NO.: 24961	
		FILING DATE: November 25, 2003	GROUP ART UNIT: ****	
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		February 21, 1986), Russian Patent No. SU 1371700
/NP/	GQ	Derwent# 008650867 WPI Acc. No: 1991-154896/199121 (citing Russian Application No. SU4280143, published July 07, 1987), Russian Patent No. SU 1593651
/NP/	GR	Harris et al., "The Experimental Production in Dogs of Emphysema with Associated Asthmatic Syndrome by Means of an Intratracheal Ball Valve", <i>J. Lab. Clin. Med.</i> , 9(iv):75-88, 1919
	GS	Lewis et al., "Pulmonary Interstitial Emphysema: Selective Bronchial Occlusion with a Swan-Ganz Catheter", <i>Archives of Disease in Childhood</i> , 63:313-315, 1988
	GT	Mathew et al., "Selective bronchial obstruction for treatment of bullous interstitial emphysema." <i>J. of Ped.</i> , 96:475-477, 1980
	GU	Okada et al., "Emergent Bronchofiberoptic Bronchial Occlusion for Intractable Pneumothorax with Severe Emphysema", <i>The Jap. J. of Thor. And Cardio. Sur.</i> , 46:1078-1081, 1998
	GV	Puhakka et al., "Acute Bronchial Obstruction: An Experimental Rabbit Model Study", <i>Int. J. of Pediatric Otorhinolaryngology</i> , 18:107-118, 1989
↓	GW	Snider et al., <u>The Definition of Emphysema: Report of the National Heart Lung and Blood Institute, Division of Lung Diseases Workshop</u> , <i>Am. Rev. Respir. Dis.</i> , 132:182-185, 1985
/NP/	GX	Woodring et al., "Pneumothorax ex Vacuo", <i>CHEST</i> , 100:1102-1124, 1996

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